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Docket No.: J2167.0403/P403  
(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:  
Carol A. Fredrickson et al.

Application No.: 10/635,563

Art Unit: 2127

Filed: August 7, 2003

For: INTERNATIONAL AND DOMESTIC  
COLLECTION SYSTEM

Examiner: Not Yet Assigned

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APR 14 2004

Technology Center 2100

PETITION TO MAKE SPECIAL  
UNDER 37 CFR 1.102(d)

U.S. Patent and Trademark Office  
2011 South Clark Place  
Customer Window, Mail Stop Petition  
Crystal Plaza Two, Lobby, Room 1B03  
Arlington, VA 22202

Dear Sir:

Submitted herewith is a Petition to Make Special the above-identified Patent application.

The claims of this application are believed to belong to a single group. However, should it be determined that all claims presented are not directed to a single invention, the undersigned, acting for the Applicants, will make an election without traverse, following telephone restriction practice.

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In support of this Petition, applicants submit the following:

1. An Information Disclosure Statement listing at least each of the references cited herein, along with one copy each of the references most closely related to the subject matter encompassed by the claims.

2. A search was performed among the references classified in at least Class 235, subclasses 375 and 379; Class 705, subclasses 1, 35, 39, 40 and 45, and Class 707, subclasses 1, 7, 100, 102 and 104.1. Computer searching, using, for example, using keywords in the USPTO full-text database, was performed to augment the classification search.

3. Of the references located in the search described above, the following are deemed most relevant to the present application. This paper is accompanied by an Information Disclosure Statement that includes duplicate copies of these patents, as well as the other documents cited in the Information Disclosure Statement.

4. U.S. Patent 5,895,455 to Bellinger et al. shows a method that provides user access to a selected group of document images. In the system used by Bellinger, multiple host applications combine the high speed capture of MICR data, check image data, and customer data, to allow customers to access large numbers of check images. Data is processed from the check and the captured data is electronically matched with the images. Col. 9, lines 5-19. MICR data and image data is collected from checks. All checks for a particular commercial customer account are organized together and all customer data for a specific media is organized on the same Media Formatting Input (MFI) file. Col. 14, lines 5- 52. Bellinger et al. does not teach or suggest associating the check and any associated documents together as an image-based unit of work, nor does it teach or suggest storing the extracted information so as to be retrievable on a unit of work basis.

5. U.S. Patent 6,115,509 to Yeskel shows scanning of check images that are stored archivally for later retrieval. Accepted documents are formed into large data groups

that contain a storage location identification for each individual document within the large data group. An index is stored for each data group. An optional feature of the invention provides human review of images/documents, usually suspicious images/documents. Data and reports are generated to summarize image quality analysis results for individual suspect images of a document, for an entire document, and for Units of Work (UofW) comprising a very large number of documents (for example, in the range of 100,000 documents).

Col. 3, lines 26-33. However, the units of work defined in Yeskel are simply very large grouping of documents. Yeskel does not teach or suggest associating the check and any associated documents together as an image-based unit of work, nor does it teach or suggest storing the extracted information so as to be retrievable on a unit of work basis.

6. U.S. Patent Publication 2003/0208421 to Vicknair et al. shows a system that performs Electronic Check Presentment (ECP) processing. The system uses digital imaging techniques to digitally image the physical checks as they arrive subsequent to posting of the ECP items. The images are electronically linked to the data records that represent the checks. That is, the initially received ECP data is linked with data extracted from scanning of subsequently received physical checks and the data for each is linked together. Page 2, paragraph [0020]. However, Vicknair et al. does not teach or suggest associating the check and any associated documents together as an image-based unit of work, nor does it teach or suggest storing the extracted information so as to be retrievable on a unit of work basis.

7. U.S. Patent Publication 2002/0001393 to Jones et al. shows an image processing network that processes images of scanned documents. The network creates image files comprising three portions. A first portion contains binary encoded data representing the images of both sides of the document. The second portion of the image file contains data extracted from the images of the document, all information in the second portion being obtained from the images. In the case of a check, the second portion includes the MICR data (extracted from the image, *not* by means of a magnetic ink reader), such as the amount of the check and the bank drawn. A third portion contains a

unique identification code or tag associated with the document. For example, if the document is currency, the unique identifier may be a serial number, seal, plate number, or customer number. However, Jones et al. does not teach or suggest associating the check and any associated documents together as an image-based unit of work, nor does it teach or suggest storing the extracted information so as to be retrievable on a unit of work basis.

8. The prior art, taken alone or in combination, does not teach or suggest the unique combinations of elements recited in independent claim 1. Specifically, none of the references, alone or in combination, teach or suggest a client operable to receive information from one or more scanners, associate the scanned collection item and any associated documents together as a unit of work, accept input from a user, and perform processing of the collection items in accordance with the user's input; and a database operable to store the extracted information so as to be retrievable on a unit of work basis.

9. The prior art, taken alone or in combination, also does not teach or suggest the unique combination of steps recited in independent claim 11, which is a method claim corresponding to independent claim 1 discussed above.

10. Moreover, none of the references teach or suggest displaying on a trading terminal associated with a given trader the best quote which that trader can accept, the best quote being a function of the best price available to the given trader and, if two or more quotes at that price are available to the given trader, displaying only the earlier such quote entered into the trading system, as recited in independent claim 3.

11. Accordingly, applicants request that this Petition to Make Special be granted and the application undergo accelerated examination.

12. Please charge our Credit Card in the amount of \$130.00 covering the fee set forth in 37 CFR 1.17(h) or (i). Credit Card Payment Form SB-2038, with a signature from an authorized cardholder, is enclosed. The Director is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed

herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 50-2215, under Order No. J2167.0403/P403.

Dated: April 8, 2004

Respectfully submitted,

By

  
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